U.S. BORDER PATROL
INTERNAL OPERATING PROCEDURE
CAPABILITY GAP ANALYSIS PROCESS

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SUPERCEDES: Not Applicable

1. **PURPOSE.**

1.1. This publication implements the U.S. Border Patrol (USBP) Internal Operating Procedure (IOP) 111-033-002, *Capability Gap Analysis Process* (CGAP), to the USBP. It provides instructions on how to effectively execute CGAP.

1.2. This publication applies to USBP Sectors and/or other field components who execute CGAP and employees at all levels who prepare, review, report, analyze, approve and or process Capability Gap Analysis Reports (CGARs).

1.3. Refer recommended changes and questions about this publication to the USBP Headquarters (HQ) Responsible Office (R/O) listed at the top of this page.

1.4. This publication may not be supplemented by field units with Standard Operating Procedures.

1.5. Waivers are not authorized for this IOP.

1.6. The use of the name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by the USBP.

1.7. The CGAP is the second step of the USBP Requirements Management Process (RMP). CGAP is intended to (1) identify and characterize capability gaps and the area conditions that contribute to and/or have a nexus to those gaps and (2) capture the capability baseline at a given location. Refer to the USBP RMP Handbook for details on other steps of the RMP.

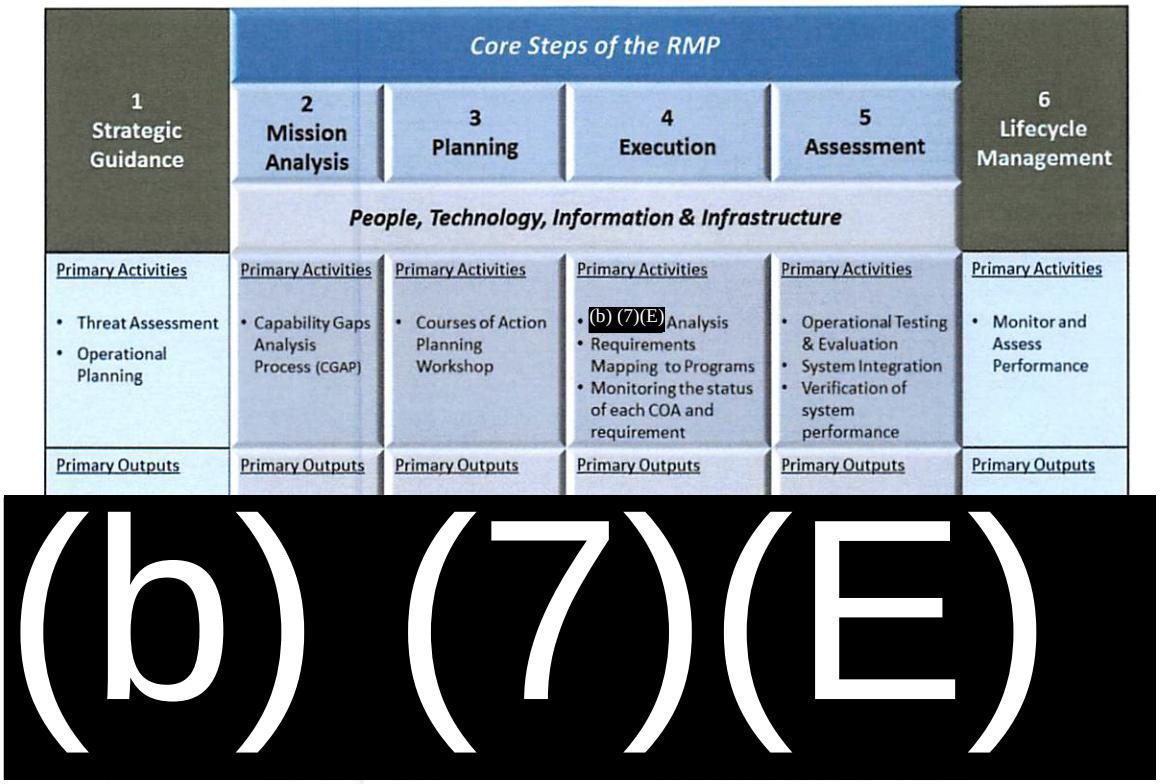

Figure 1 Core Steps of the RMP.

1.8. CGAP is a scenario-based exercise designed to compare (b) (7)(E) capabilities to determine whether, and to what degree an imbalance in those capabilities exists; i.e., the process identifies, frames, and characterizes problems. It is designed to be agile, flexible, scalable, repeatable, and rapidly executable to enable timely decision making and support. The CGAP process provides decision support to strategic acquisitions and resourcing through a repeatable, traceable, and defensible systems analysis approach.

1.9. While CGAP was originally designed to identify technology and tactical infrastructure requirements, and provide decision support to strategic acquisitions and resourcing, it can also provide decision support to tactical, operational, and strategic commands. CGAP executes "total mission analysis" which can support a broad spectrum of operational and acquisitions decisions. CGAP accomplishes this through assessing (b) (7)(E) .

1.10. CGAP is intended to facilitate the deployment of the right capabilities to the right location, while providing the USBP a mission analysis process that can withstand internal and external scrutiny. From the procurement and acquisitions perspective, terrain, threat, socio-economic, and political considerations vary greatly across sectors and regions, making a "one size fits all" approach ineffective and irresponsible. CGAP provides the ability to identify specific gaps and tailored solutions to leverage against those gaps.

1.11. CGAP assesses the seven mission essential tasks (METs) listed below. The assessment is accomplished via structured, scenario based discussions (b) (7)(E) .

Mission Essential Tasks
(b) (7)(E)

Figure 2 Mission Essential Tasks.

1.12. Ultimately, the effectiveness of the CGAP process is driven by the quality of the assessment and the integrity of the data.

1.13. CGAP is an iterative process and its outputs should be considered "living documents". CGAP assessments will require updates of identified gaps at regular intervals depending on the situation in a given area. Additionally, gaps will be validated and governed to assure that they are prioritized in accordance with the U.S. Border Patrol Strategic Plan and actioned by the most effective means possible.

1.14. Similarly, the process and specific products outlined on the following pages will continue to evolve and change. If the example or template provided is not effective for a given location, CGAP planners should coordinate with USBP HQ Operational Requirements Management Division (ORMD) subject matter experts (SME) to identify a suitable alternative that holds true to the principles outlined herein.

2. ROLES AND RESPONSIBILITIES.

2.1. **Chief, United States Border Patrol.** Directs USBP Sectors and/or other field components to complete CGAP assessments (b) (7)(E) .

2.2. **Chief Patrol Agents, Border Patrol Sectors.**

2.2.1. Ensures each station and/or program within Sector completes CGAP assessment within the given timeframe.

2.2.2. Determines the collective prioritization of the Sector's capability gaps prior to submission to USBP HQ.

2.2.3. Directs the execution of an assessment outside of the CGAP cycle at his or her discretion.

2.3. **Station/programmatic leadership and CGAP Planners.** Tasks are outlined in the IOP.

2.4. **ORMD, Strategic Planning and Analysis Directorate (SPAD), USBP HQ.**

2.4.1. Provides CGAP training to field components as required.

2.4.2. Provides "customer service" and support to CGAP practitioners in the field.

2.4.3. Serves as the collection point for CGAP related data from the field.

2.4.4. Facilitates the transfer of capability gap information to the appropriate Directorate or Division as required.

2.4.5. Briefs the outputs of CGAP assessments to USBP leadership.

2.4.6. Executes the RMP.

3. **CGAP PRINCIPLES.**

3.1. Although modifications can be made to the process that is outlined in this IOP in order to assess capability gaps, the following CGAP *principles* must guide the process.

CGAP Principles	
Principle #1	Collaborate with the field. • Seek out input from the doers, boots on the ground, end users, SMEs, etc.
Principle #2	Understand, define, and describe the problem. • Tell the story; what are the variables? (e.g., environment, culture, politics, etc.)
Principle #3	Understand and define the specific mission to be accomplished. • Define the purpose, end state, and mission critical tasks
Principle #4	Develop evaluative measures. • Analyze and define the criteria that describe mission accomplishment
Principle #5	Conduct collaborative analysis based on realistic scenarios. • Ask questions comparing [redacted] (b) (7)(E) capabilities • Record responses and survey data from participant
Principle #6	Apply critical and creative thinking. • Understand and apply a balance of art and science

Principle #7	Document the process and analysis with evidence. • Record methodology, data, and evidence at every step of the process

Figure 3 CGAP Principles.

4. CGAP OVERVIEW.

Step	Capability Gap Analysis Process
1	Receive Mission
2	Collect Data and Plan Collaborative Analysis Exercise (CAE)
3	Conduct CAE
4	Conduct Gap Analysis
5	Conduct CORE[1] Card Analysis
6	Prepare and Approve CGAR

Figure 4 CGAP Process.

5. RECEIVE MISSION.

5.1. CGAP begins when an appropriate authority orders the analysis of specific geographic area or problem set. Although ultimately directed by the Chief of the USBP, CGAP may be initiated at the strategic, operational, or tactical levels by the appropriate level of leadership. In support of the Border Patrol Strategic Plan, USBP Sectors and Stations were first directed to complete CGAP Analyses during FY15. In the future, GGAP analyses will be refreshed every (b) (7)(E) , or as required by the Chief. Additionally, (b) (7)(E) may necessitate a CGAP update. Stations and other components can also initiate CGAP planning on their own when they identify a need even though it was not directed by higher authority.

5.2. A commander may provide initial CGAP guidance based upon current understanding of the operational environment and the problem at hand. His or her guidance could specify the scope of the assessment, time constraints, or identify specific mission essential tasks, capabilities, and/or entities that require analysis.

6. COLLECT DATA AND PLAN CAE.

6.1. A Collaborative Analysis Exercise (CAE) is a structured meeting, or series of structured meetings designed to elicit input from SMEs via guided group discussions. The CAE is a crucial component of CGAP and must be structured to elicit relevant information from participants in a limited amount of time. This information will be used to clearly identify capability gaps, define needs, and formulate potential solutions.

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[1] [1] Capabilities, Objective Measures, Resources, Evaluative Methods (CORE) from *Requirements Planning Team Training Guide: Strategic Requirements Planning Process & How to Draft a CORE Document*, Department of Homeland Security, March 2009

6.2. In preparation for the CAE, staff must execute a series of steps to ensure that the exercise achieves the desired results. Those steps are illustrated in Figure 5 Collaborative Analysis Exercise Steps.

Step	Collaborative Analysis Exercise
1	Identify CGAP planners
2	Identify work space for CGAP Planners and CAE
3	Identify and coordinate with CAE participants
4	Review Strategic and Operational guidance
5	Review (b) (7)(E) and other (b) (7)(E)
6	Determine data collection tools
7	Determine (b) (7)(E) (capability baseline)
8	Determine (b) (7)(E) (capability baseline)
9	Develop scenarios
10	Final CAE Preparation

Figure 5 Collaborative Analysis Exercise Steps.

6.3. **Identify CGAP Planners.**

6.3.1. The first step in preparing for the CAE is the identification of the CGAP planners. The CGAP planning cadre will be responsible for coordinating with the personnel to produce deliverables in preparation for the exercise. The CGAP planners will facilitate the CAE and be responsible for the analysis and report writing after the CAE. The size and complexity of the operation will drive the number of planners required. A baseline station-level assessment should take approximately 3-5 days to complete. Although the deliverables will likely be completed within 3-5 days, additional follow-up work may be necessary to complete the final CGAR.

6.3.2. Experienced agents, first line and/or second line supervisors make ideal CGAP team members. The team will benefit from experience and representation from the important functional components at a given location.

6.4. **Identify work space for CGAP Planners and CAE.**

6.4.1. An appropriately sized room with a computer, projector, and white board(s) is ideal. This space will only be needed for the CAE. Additionally, the CGAP planners should have access to another computer terminal or laptop computer to electronically capture comments during the group discussions.

6.5. **Identify and Coordinate with CAE Participants.**

6.5.1. In order to prepare for the CAE, the CGAP planning cadre will need to coordinate with a number of different personnel, departments and entities to gather information and begin structuring the CAE (see 6.5.5), to include CAE participants to ensure the necessary

personnel will participate in the CAE. A "CGAP Introduction and Talking Points" can be located in Attachment 2 to assist in briefing CGAP to participants and stakeholders.

(b) (7)(E)

(b) (7)(E)

6.5.3.1. **2nd Line Management.** (b) (7)(E)

(b) (7)(E)

6.5.3.6. **Program SMEs.**

6.5.3.7. **Representatives from Partner Organizations.** (b) (7)(E) personnel.

(b) (7)(E)

6.5.4. SMEs should be able to describe current capability baselines for their area of expertise. Reference materials such as schematics, charts, graphs, tables of organization, etc. are desired. Examples of applicable SMEs include, but are not limited to: Intelligence (analysis), Facilities, Planning, Fleet, and Law Enforcement, Communications Assistant (LECA).

6.5.5. Depending on the size of the Station or program, the CAE may contain 4 (small station) to 12 (large station) personnel, although 15+ may be the requirement depending on the complexity of the operation at a given location. There is no prescribed number of personnel as long as the major functions, perspectives, and subject matter expertise are represented. Additionally, a mix of junior and senior personnel is recommended. The ideal

CAE participant is knowledgeable in the area of expertise (ex. operations, adversary TTPs, and logistics) and is willing to discuss them in a group setting.

6.5.6. Essential coordination for CAE preparation: At a minimum, CGAP planners should coordinate with the following:

6.5.6.1. Station and/or program Command Staff.

6.5.6.1.1. Brief command staff on CGAP purpose and process (if required).

6.5.6.1.1.1. Identify CGAP point of contact (POC).

6.5.6.1.1.2. Identify number and type of personnel that will be required to participate in the CA.

6.5.6.2. Intelligence units at the appropriate level (station, sector, etc.).

6.5.6.2.1. Brief intelligence staff on CGAP purpose and process (if required).

6.5.6.2.1.1. Identify intelligence POC.

6.5.6.2.1.2. Identify the number and type of intelligence personnel required to participate in the CAE.

6.5.6.2.2. Identify information requirements to inform CGAP.

6.5.6.2.2.1. Begin data collection.

6.5.6.2.2.2. Request (b) (7)(E) products such as (b) (7)(E) [redacted]

6.5.6.3. (b) (7)(E) personnel.

6.5.6.3.1. Begin preparation for (b) (7)(E).

6.5.6.3.1.1. Identify POC.

6.5.6.4. Other program or functional representatives as required.

6.5.6.4.1. Ex. Policy, fleet, Office of Information and Technology (OIT), etc.).

6.5.7. A "CGAP Quick-Start Guide" can be located in Attachment 2 with step-by-step instruction to guide the process and assist with coordination of participants, materials, and resources.

6.5.8. *It is important to understand that the individuals identified to participate in the CAE will only be needed for one day. They should not be confused with the CGAP planners who are needed for the entirety of the 3-5 day assessment.*

6.5.9. It is important that the participants feel free to speak openly about the scenarios. CGAP planners should make every effort to keep the commander or decision maker apprised of the situation throughout the week with updates on certain products as they are developed (particularly the capability gap statements that will be discussed later).

6.6. **Review Strategic and Operational Guidance.**

6.6.1. Strategic/operational guidance focuses the staff on the National and local priorities and provides a framework for the assessment process. Sources of strategic guidance include, but are not limited to, the Border Patrol Strategic Plan, (b) (7)(E) and other guidance issued at the National, Sector, and Station levels. This review, coupled with the commander's guidance, will help drive the scope of the assessment.

6.7. **Review** (b) (7)(E) **and other** (b) (7)(E) **.**

6.7.1. CGAP planners and intelligence POCs should evaluate the (b) (7)(E) (b) (7)(E)

6.8. **Determine Data Collection Tools.**

6.8.1. CGAP (b) (7)(E) that are provided by USBP HQ.

6.8.1.1. Survey data and written comments captured on paper surveys are collected during the CAE.

6.8.1.1.1. All survey data is inputted into the (b) (7)(E) (Refer to Attachment 4) for additional details.

6.8.1.2. Quantitative data is produced and entered by USBP HQ into the (b) (7)(E)

6.8.1.2.1. (b) (7)(E)

6.8.1.2.2. (b) (7)(E) .

6.8.1.2.3. (b) (7)(E) .

6.8.2. Additional collection tools.

6.8.2.1. Verbal comments from CAE participants are captured on the Comment Capture Spreadsheet.

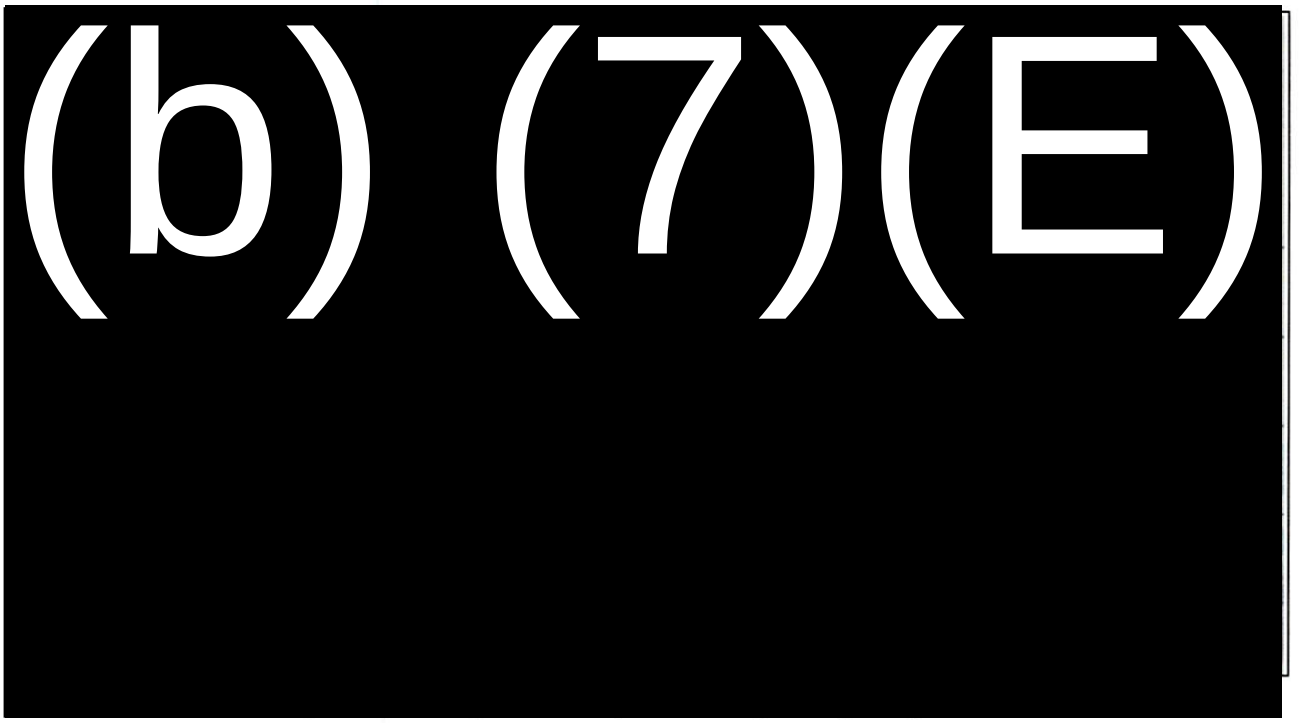
6.8.2.2. Written comments provided on paper surveys are transferred onto Comment Capture Spreadsheet.

6.9. **Prepare (b) (7)(E) Map(s).**

6.9.1. In order to visualize identified (b) (7)(E), CGAP planners must consider the relevant facts regarding (b) (7)(E) and capabilities in the operational environment. At a minimum, this information should include, but not limited to the following:

(b) (7)(E)

(b) (7)(E)



6.10. **Evaluate** (b) (7)(E) .

6.10.1. In order to identify where a capability gap exists, CGAP planners must also establish a general understanding of (b) (7)(E) A gap occurs when it is assessed that (b) (7)(E)
(b) (7)(E)
Examples of potential sources of information include, but are not limited to:

6.10.1.1. (b) (7)(E)

6.10.1.2. Threat assessments;

6.10.1.3 (b) (7)(E)

6.10.1.4

6.10.1.5

6.10.1.6. Operationally relevant statistics (b) (7)(E) , etc.); and

6.10.1.7. Intelligence products from partner agencies.

6.10.2. (b) (7)(E) need to be presented to CAE participants in a clear and concise manner. The primary method for doing so will be discussed in the next section

(Develop Scenarios). Additional information will also be elicited during the group discussions revolving around the scenarios themselves.

6.11. **Develop Scenarios.**

6.11.1. (b) (7)(E) baselines have been identified and analyzed, the information is used to build CAE scenarios. The CAE scenarios are a critical component of CGAP and special care must be exercised to ensure that the scenarios are accurate, realistic and (b) (7)(E). The scenarios must also be (b) (7)(E) identified during the "Review strategic/operational guidance" phase (Step 1 of CAE development process).

6.11.2. (b) (7)(E)

6.11.3. (b) (7)(E)

A detailed description of each section of the scenario can be found in Attachment 2: CAE Tools.

See the sample scenarios below.

CAE SCENARIO TEMPLATE	
Scenario	(b) (7)(E)
Scenario	(b) (7)(E)
(b) (7)(E)	(b) (7)(E)
(b) (7)(E)	
Description of (b) (7)(E)	

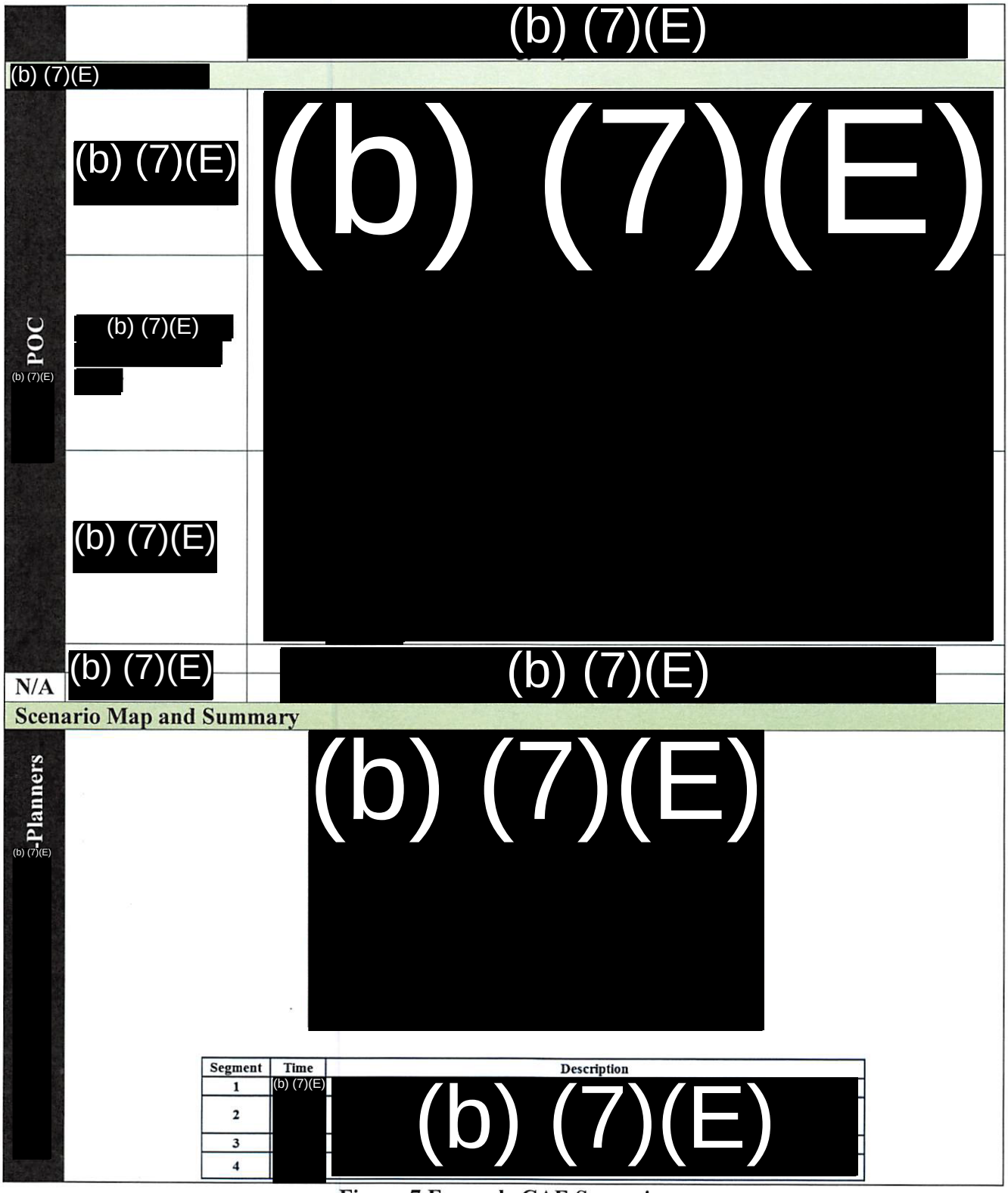
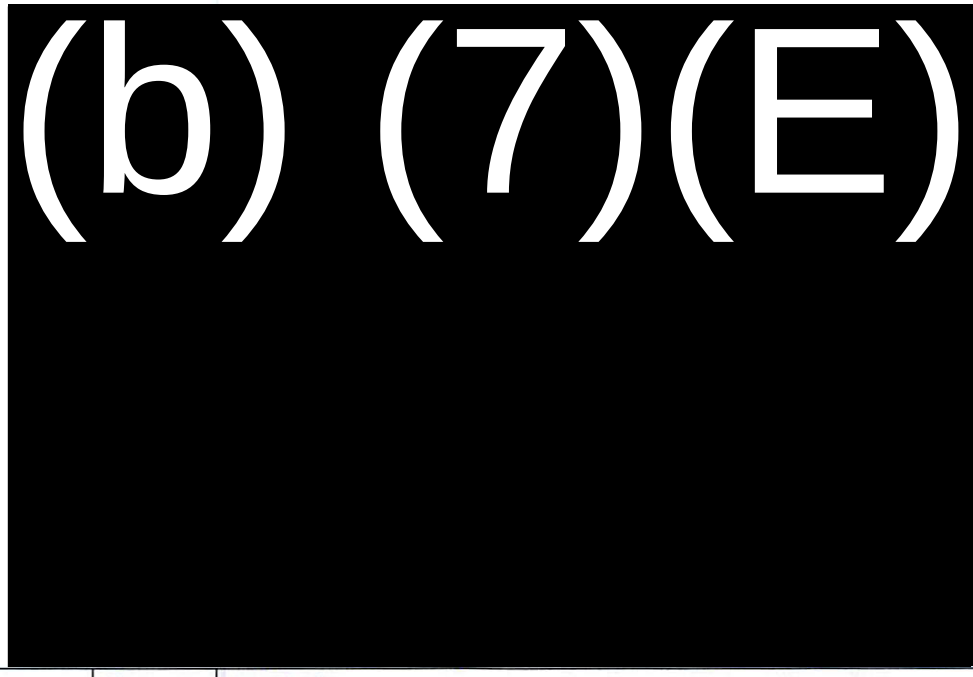


Figure 7 Example CAE Scenario.

The CAE scenario map should be as detailed as possible and depict each stage of the scenario.



Segment	Time	Description
1	(b) (7)(E)	(b) (7)(E)
2		
3		
4		

Figure 8 Example CAE Scenario Map.

6.12. **Surveys.**

6.12.1. During the CAE, surveys are provided to the participants following every scenario. The purpose of the surveys is to qualitatively assess capabilities in a given location. Surveys are a valuable way to collect data from CAE participants. Additionally, surveys include a comment section to capture any comments that a participant may not feel comfortable making verbally. Potential solutions to a problem that is being discussed can also be captured in the comments section of the survey.

6.12.2. It is critical that CGAP planners label the survey sheets in a way that corresponds to the scenario/area being assessed. For example, all surveys associated with Scenario 1/Zone A should be labeled as such; surveys associated with Scenario 2/Zone B should be labeled as such; and so on. Failure to do so will result in the inability to determine which set of surveys were filled out for each scenario/Zone/Operational Area.

6.12.3. Note that participants will take surveys on paper copies. The survey data (numeric responses) must be entered into the (b) (7)(E). Planners must ensure that they collect and store surveys until such time as they are entered.

6.12.4. MET Effectiveness Rating. The intent of the MET portion of the survey is to qualitatively assess how effectively each MET is executed in a given location/scenario. Communications (for example communicating on Agency radios) is also included on this page. CAE participants must rate the likelihood of performing each MET (or communications) from "extremely unlikely" to "extremely likely" for each scenario.

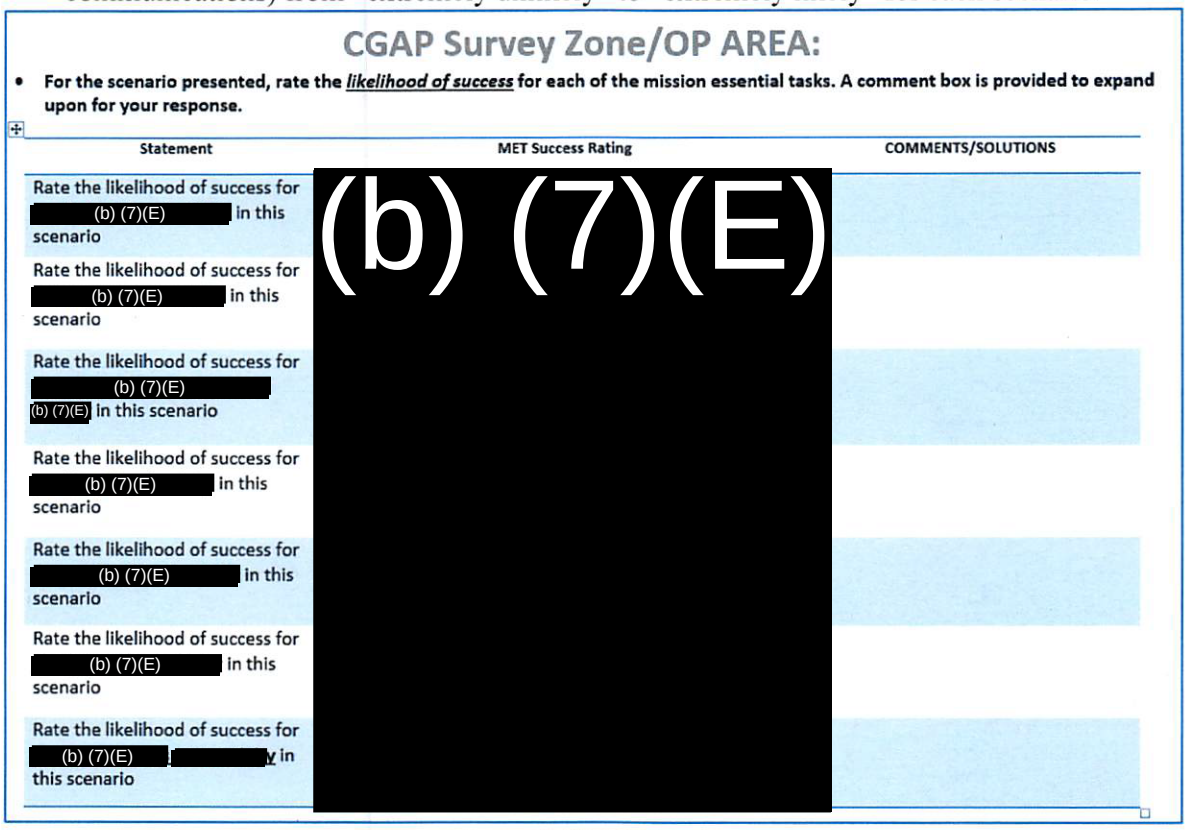


Figure 9 MET Survey.

6.12.5. Identify (b) (7)(E). The intent of this portion of the survey is to determine the (b) (7)(E)

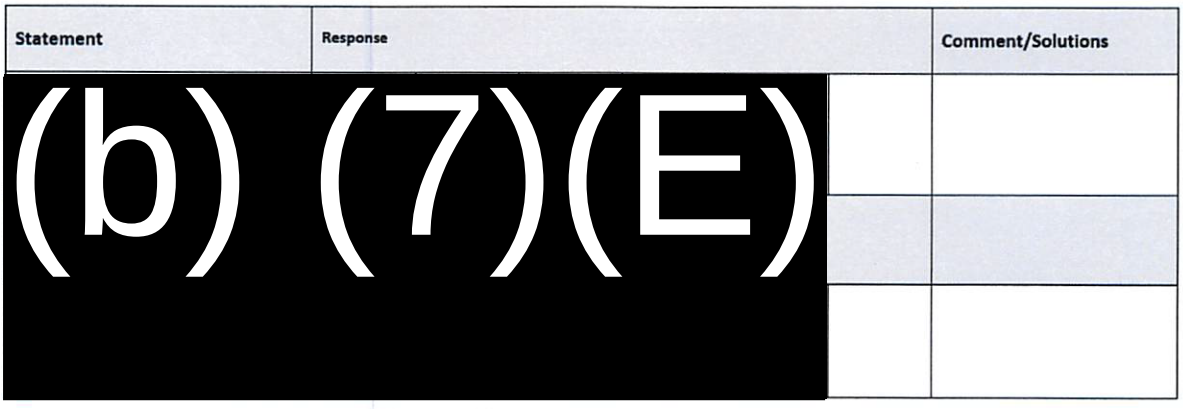


Figure 10 (b) (7)(E) Survey.

6.12.6. Identify (b) (7)(E) . The intent of this step is to assess how the (b) (7)(E) Ensure that participants identify the (b) (7)(E) .

Statement	Response	Comment/Solutions
(b) (7)(E)		

Figure 11 (b) (7)(E) Survey.

6.13. **CAE Questions.**

6.13.1. The overall intent of the CAE is to elicit information from the participants in order to identify capability gaps and characterize a given location's capability baseline. In order to do so, specific questions must asked to initiate the appropriate conversations. CGAP planners will ask specific questions in each stage of the scenario and be prepared to pose follow up questions during group discussion as necessary. This step aids in keeping the CAE focused and maximizes time available. A table of sample questions can be found in Attachment 2.

6.13.2. Each scenario will be introduced and described to the CAE participants. CGAP planners will then ask questions to the group at each stage of the scenario. It is best not to treat the CAE questions as a script, rather as prompts for the planners to ensure that all required information is gathered.

6.13.3. It is recommended that CGAP planners review and analyze the list of questions prior to the CAE in order to determine if questions need to be added or removed as necessary. Some customization may be required for unique operational environments. Figure 12 CAE Example Questions contains questions for the Pre-Border/Staging phase of the scenario.

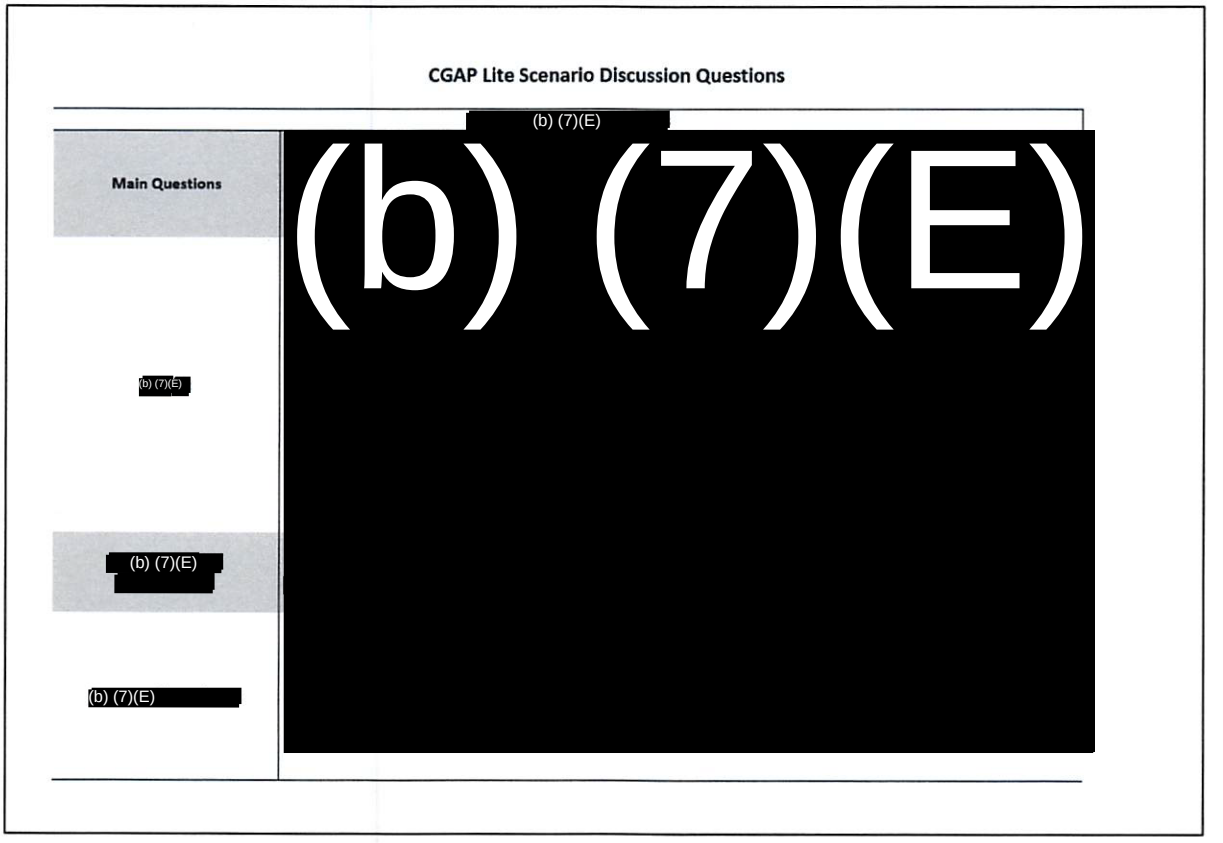


Figure 12 CAE Example Questions.

6.14. **Final CAE Preparation.**

6.14.1. The CAE methodology is a simple and logical way to present information to CAE participants within the time allotted. CGAP planners must be highly organized and weigh the need to present information against the need to encourage meaningful discussion.

6.14.2. CAE participants will be asked to evaluate a significant amount of information throughout the meeting. As a result, participants will need to be provided reference materials. A (b) (7)(E), other relevant products, and a copy of the scenario should be made available to participants. In addition, it is recommended that CGAP planners create a reference folder for each participant that contains all necessary information and materials. Recommended materials include:

6.14.2.1. Definitions of METs;

6.14.2.2. CAE scenarios;

6.14.2.3. Maps; and

6.14.2.4. Surveys.

6.14.3. Presentation Materials. In addition to reference materials, CGAP planners will be provided presentation material templates for the CAE participants and station/program command staffs (if necessary).

7. CONDUCT CAE.

7.1. Due to the volume of information that will need to be discussed and collected, it is recommended that a minimum of two CGAP planners execute the CAE. One planner should serve as the facilitator and the second as the "scribe" or "note taker". These two roles can be traded back and forth as necessary.

7.2. The intent of the CAE is to elicit information from participants, which depending upon the group, can be challenging. A facilitator manages the CAE, rather than the content. Facilitation is more art than science and requires the facilitator to be flexible and focused. Some of the more common facilitation challenges to be aware of include:

7.2.1. The requirement to continually focus on and attend to the group;

7.2.2. Being comfortable with information overload;

7.2.3. Processing misperceptions and emotional reactions; and

7.2.4. Focusing exclusively on process rather than content.

7.3. Facilitation requires excellent active listening skills. It is the facilitator's job to keep the conversation moving and elicit relevant information. Figure 13 Active Listening Techniques details various active listening techniques that may be employed.

Key Active Listening Techniques			
TECHNIQUES	**Purpose**	**Approach**	**Language**
ENCOURAGING	▪ To convey interest ▪ To keep the person talking	▪ Don't agree or disagree with speaker. ▪ Use non-committal words with positive tone of voice.	▪ I see... ▪ Uh-huh... ▪ That's interesting... ▪ Tell me more about... ▪ Go on...
RESTATING	▪ To show that you are listening and understanding. ▪ To help speaker grasp the facts	▪ Restate the speakers' basic ideas. ▪ Put in your own words.	▪ If I understand, your situation is... ▪ In other words, your decision is...
REFLECTING *The power of silence should not be underestimated.*	▪ To show you are listening and understanding ▪ To let speaker know you understand how he/she feels.	▪ Reflect the speakers' basic feelings. ▪ Put in your own words.	▪ You feel that... ▪ You were pretty disturbed about that... ▪ You believe that...
SUMMARIZING	▪ To pull important ideas, facts, etc. together. ▪ To establish a basis for further discussion ▪ To review progress	▪ Restate, reflect, and summarize major ideas and feelings.	▪ These seem to be the key ideas you expressed... ▪ If I understand you, you feel this way about this situation.

Figure 13 Active Listening Techniques (University of Wisconsin-Madison, 2007).

7.4. It is the facilitator's job to identify key/important statements in order to continue lines of questioning that will bring out additional details. For example, if a participant comments "I can't get out on my radio anywhere," a facilitator should dive deeper into that issue by presenting follow-up questions. Example follow-up questions could include:

7.4.1. "Where specifically are the radio dead spots?"

7.4.2. "Is this a problem for your handheld radio, vehicle radio, or both?"

7.4.3. "How does that impact operations; officer safety?"

7.4.4. "What about unattended ground sensors (UGS)? Are there communications problems with UGS as well?"
7.4.5. "Does this apply to imaging UGS, seismic/magnetic UGS, or both?"